

10/16/02  
#4  
PATENT  
18810-81607  
Receipt

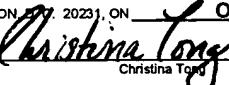


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Carol W. Readhead and Robert Winston  
Serial No. 10/008,385  
Filed: November 12, 2001  
For: IN VITRO TRANSFECTION, STORAGE AND TRANSFER  
OF MALE GERM CELLS FOR GENERATION OF  
TRANSGENIC SPECIES  
Examiner: Unknown  
Unit: 1632

**SECOND REQUEST FOR CORRECTION OF FILING RECEIPT  
FOR PTO MISTAKE (37 C.F.R. § 1.322 (a))**

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D. C. 20231

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO THE ASSISTANT COMMISSIONER FOR PATENTS	
WASHINGTON, D. C. 20231, ON	October 30, 2002
BY	 Christina Tong
October 30, 2002	
(DATE OF SIGNATURE)	

Dear Sir or Madam:

Applicant requests correction of Filing Receipt mailed September 6, 2002, concerning the above-referenced application to indicate the correct order of named applicants, as indicated in the enclosed marked-up version of the filing receipt (Exhibit A) from:

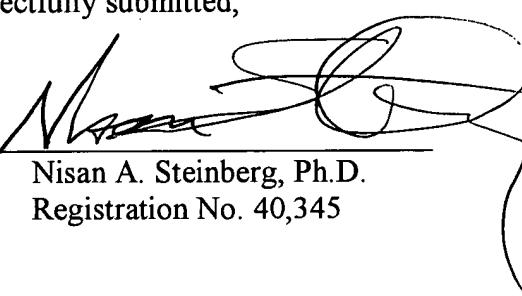
Robert Winston, London, UNITED KINGDOM;  
Carol W. Readhead, Pasadena, CA;  
to:  
Carol W. Readhead, Pasadena, CA;  
Robert Winston, London, UNITED KINGDOM.

Support for this request is found in a copy of the first page of the Utility Patent Application Transmittal (Small Entity), filed on November 12, 2001 (Exhibit B).

Also enclosed is a copy of the Cover Page of the above referenced application, filed on November 12, 2001(Exhibit C).

The Commissioner is hereby authorized to credit overpayments or charge any fees required under 37 C.F.R. 1.16 or C.F.R. 1.17 to Deposit Account No. 50-1597.

Respectfully submitted,

By: 

Nisan A. Steinberg, Ph.D.  
Registration No. 40,345

SIDLEY AUSTIN BROWN & WOOD  
555 West Fifth Street  
Los Angeles, California 90013-1010  
Ofc: 213/ 896-6663  
Fax: 213/896-6600



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/008,385	11/12/2001	1632	379	18810-81607	0	21	1

SIDLEY AUSTIN BROWN & WOOD  
 555 West Fifth Street  
 Los Angeles, CA 90013-1010

CONFIRMATION NO. 3519  
 CORRECTED FILING RECEIPT



\*OC00000008744892\*

Date Mailed: 09/06/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

~~Robert Winston, London, UNITED KINGDOM;~~

~~Carol W. Readhead, Pasadena, CA;~~ Change to:

Carol W. Readhead, Pasadena, CA;

Robert Winston, London, UNITED KINGDOM

**Domestic Priority data as claimed by applicant**

THIS APPLICATION IS A DIV OF 09/191,920 11/13/1998 PAT 6,316,692  
 WHICH CLAIMS BENEFIT OF 60/065,825 11/14/1997

**Foreign Applications**

If Required, Foreign Filing License Granted 01/17/2002

Projected Publication Date: Not Applicable

Non-Publication Request: No

Early Publication Request: No

**\*\* SMALL ENTITY \*\***

**Title**

In vitro transfection, storage and transfer of male germ cells for generation of transgenic species

Preliminary Class

800

---

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**UTILITY PATENT APPLICATION TRANSMITTAL  
(Small Entity)**

Docket No.  
18810-81607

**Total Pages in this Submission**

102

NOV 04 2002

**TO THE ASSISTANT COMMISSIONER FOR PATENTS**

**Box Patent Application  
Washington, D.C. 20231**

TRANSMITTED herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

## **In Vitro Transfection, Storage and Transfer of Male Germ Cells for Generation of Transgenic Species**

and invented by:

Carol W. Readhead and Robert Winston

If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No.: 09/191,920

Claims benefit of provisional : 60/065,825

Continuation     Divisional     Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

## Application Elements

1.  Filing fee as calculated and transmitted as described below
  
2.  Specification having **47** pages and including the following:

- a.  **Descriptive Title of the Invention**
- b.  **Cross References to Related Applications (if applicable)**
- c.  **Statement Regarding Federally-sponsored Research/Development (if applicable)**
- d.  **Reference to Microfiche Appendix (if applicable)**
- e.  **Background of the Invention**
- f.  **Brief Summary of the Invention**
- g.  **Brief Description of the Drawings (if drawings filed)**
- h.  **Detailed Description**
- i.  **Claim(s) as Classified Below**
- j.  **Abstract of the Disclosure**



DIVISIONAL APPLICATION  
OF

CAROL W. READHEAD  
AND  
ROBERT WINSTON

FOR

UNITED STATES LETTERS PATENT  
ON

# IN VITRO TRANSFECTION, STORAGE AND TRANSFER OF MALE GERM CELLS FOR GENERATION OF TRANSGENIC SPECIES

Docket: 18810-81607  
Sheets of Drawings: None

Attorneys  
Sidley Austin Brown & Wood  
555 West Fifth Street, 40<sup>th</sup> Floor  
Los Angeles, California 90013-1010  
Telephone: (213) 896-6665  
Facsimile: (213) 896-6600